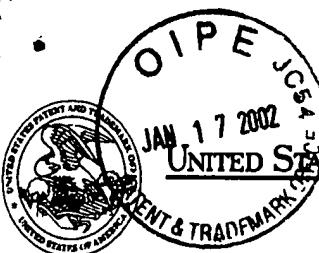


AP3

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## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/898,515	07/03/2001		09857-062001

CONFIRMATION NO. 4895

## FORMALITIES LETTER



\*OC000000006401296\*

DENIS G. MALONEY  
Fish & Richardson P.C.  
225 Franklin Street  
Boston, MA 02110-2804

Date Mailed: 08/08/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

## FILED UNDER 37 CFR 1.53(b)

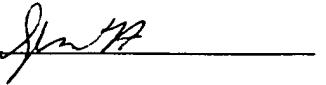
*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$18.
  - \$18 for 1 total claims over 20.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 858.**

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*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
  
 Initial Patent Examination Division (703) 308-1202

01/23/2002 VTRUONG1 00000097 09898515 PART 2 - COPY TO BE RETURNED WITH RESPONSE

01 FC:101	740.00 00
02 FC:102	18.00 00
03 FC:105	150.00 00



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Attorney's Docket No.: 09857-062001

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#3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Dean Furbush et al. Art Unit : Unknown  
Serial No. : 09/898,515 Examiner : Unknown  
Filed : July 3, 2001  
Title : Order Execution Processing for Automated Market System

**BOX MISSING PARTS**

Commissioner for Patents  
Washington, D.C. 20231

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION**

In response to the Notice to File Missing Parts of Application under 37 CFR §1.53(b) mailed August 8, 2001 (copy enclosed), applicant as a large entity submits herewith the following:

- Payment of the basic filing fee of \$740;
- Payment of the additional/multiple dependent claims fees of \$18;
- Check in payment of \$130 surcharge for filing the basic filing fee and/or declaration on a date later than the filing date of the application;
- Combined Declaration and Power of Attorney in compliance with 37 CFR §1.63;
- Petition for One Month Extension of Time w/accompanying fee.

It is understood that this perfects the application and no additional papers or filing fees are required. Please apply any other charges or credits to Deposit Account No. 06-1050.

**CERTIFICATE OF MAILING BY FIRST CLASS MAIL**

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

Date of Deposit

Signature

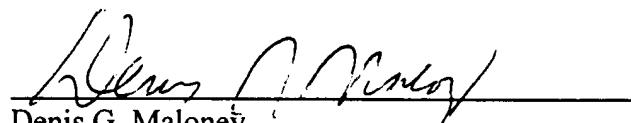
Typed or Printed Name of Person Signing Certificate

Applicant : Dean Furbush et al.  
Serial No. : 09/898,515  
Filed : July 3, 2001  
Page : 2

Attorney's Docket No.: 09857-062001

Respectfully submitted,

Date: 11/2/2001

  
Denis G. Maloney  
Reg. No. 29,670

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